

CHAPTER 1000 INTRODUCTION

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1100 CONTEXT AND PURPOSE

Policy drives **what** Children's Administration (CA) and its staff must do and is grounded in the Revised Code of Washington (RCW) and federal laws, regulations, and policy interpretations; for example, federal Department of Health and Human Services' (HHS) Administration for Children, Youth, and Families (ACYF) policy interpretations. Where state law is in conflict with federal law or regulation, the federal rule prevails.

Procedure defines **how** the agency and its staff implement policy.

Practice guidelines identify agency and staff actions as they implement policy and procedure.

The Children's Administration *Case Services Policy Manual* sets forth the policies with regard to **client** families and individuals as they progress through six essential functions from Intake to Resolution. It also identifies the policies with regard to **providers and ancillary services** that may be necessary to assist clients as they progress.

This Children's Administration *Practices and Procedures Guide* sets forth good practice on how the agency and staff will implement policy contained in the *Case Services Policy Manual* and in the *CA Operations Manual*. It also defines responsibilities for CA staff as they implement policy and procedure.

1200 MANUAL MAINTENANCE AND POLICY ISSUANCE

- A. See the flow chart below, section 1230, for a depiction of the process for development, approval, and issuance of manual revisions and interim numbered policy memoranda.
- B. DCFS Regional Administrators and DLR Regional Managers report regional practice waivers to the Director, Division of Program and Policy Development, quarterly to enable the Director to determine if manual revisions are necessary.

1205 Manual Revisions

- A. Assigned staff in the Division of Program and Policy Development will maintain the CA Case Services Policy Manual and the accompanying Practices and Procedures Guide and Operations Manual.
- B. The CA Manual Committee serves as a standing committee to provide a consistent process for development, review, and issuance of interim procedures and manual revisions.
 - 1. A supervisor or designee from the Division of Program and Policy Development chairs the Manual Committee.

2. Membership includes a diverse group of staff representing all Division of Children and Family Services (DCFS) regions, the Division of Licensed Resources (DLR) and its Offices, the Management Services Division, Union Management, and the Division of Program and Policy Development. Representation reflects the various social work, support, and management position classifications in the field and headquarters.
 3. The committee meets on a regular basis to maintain current manuals and to review and incorporate interim policies and manual revisions into the manual format and issue timely revisions.
- C. Procedures and manual revisions may be proposed by any CA staff by submitting a draft procedure using the *Request to Change Practices and Procedures DSHS* form 16-177 for a manual revision to the Director, Division of Program and Policy Development.

1210 Process for Changing Practices, Procedures, and Operations

1211 PHASE 1

- A. Problem Identification by CA Management Field and Headquarters (HQ) staff, other Stakeholders, and Development of Approval Process
1. Problem Identification results from:
 - a. New law;
 - b. New DSHS Administrative Policy
 - c. Federal funding requirements;
 - d. Deficiency in existing procedure;
 - e. Implementation of new procedures to comply with initiative;
 - f. Accreditation requirements;
 - g. Temporary circumstances.
 - h. Other circumstances.
 2. Disapproval ends the process.
- B. Approval Process to Proceed with Development of New and Revised Policy:
1. Review by Supervisor, Division Director, and others as indicated by scope, resources required and stakeholder reaction. The reviewers will evaluate issues and development proposal:

- a. Staff initiating change present conceptual plan in outline form and briefly describes need for change;
 - b. Staff, supervisor, director, and other affected participants review resources required to implement the change.
 - c. The Program and Policy (P & P) Development Director will determine whether any other manager will need to expend resources in the development of the revised policy. If so, that manager will be included in the decision making.
 - d. P & P Director will determine whether it is necessary to consult with the Assistant Secretary, Deputy Assistant Secretary, or the CA Management Team before beginning policy development dependent on the scope of the change and potential stakeholder reaction.
 - e. Emergency policies can be initiated in the following manner. In emergency conditions, interim policies may be put in place and it is management's intent to discuss/negotiate the affect of any interim policy on employee's working conditions. Such discussion/negotiation will normally take place prior to implementation of the policy. If the Assistant Secretary deems an emergency situation exists that requires an earlier implementation, Children's Administration (CA) will follow the same practice as other administrations covered by the Public Assistance Contract. Management will contact the Federation and discuss the nature of the emergency and the emergency implementation plan. During this discussion, the union may request an emergency labor/management meeting be held. Interim policies will be amended should labor/management discussion/negotiation make it necessary. See Article 5.11 of the Basic Agreement for documentation of meetings.
 2. Supervisor, P & P Division Director, and other members of the CA Management Team identified in (B. 1.) will determine if the need for change justifies expenditure of resources:
 3. Alert decision makers and key stakeholders such as Assistant Secretary, Deputy Assistant Secretary, Regional Administrators, all Division Directors, Union Representatives and/or Management.
- C. Development of Outline for Policy and Approval Process:
1. If the policy is approved for development, the decision makers will determine:
 - a. Nature of revision;
 - b. Rationale;

- c. Timeline;
 - d. Workgroup members if necessary;
 - e. Resources required;
 - f. Availability of necessary information; and
 - g. Level of approval of concept and final document for revised policy/practice. Review and approval is done in accordance with guidelines described in following table
- :

2. Review and Approval process is determined by nature of revision

Nature of Revision	Level of Approval Required	Review of Concept	Decision Making Authority-Concept	Review of Final Product	Decision Making Authority-Final Product
Technical Change: <ul style="list-style-type: none"> • Typographical errors • Minor Change for clarification Purposes 	Basic	Not necessary	Supervisor P & P Division Director	Manuals Committee	Supervisor P & P Division Director
Revision of Existing Procedure or Interim Policy with Moderate Impact on workload: <ul style="list-style-type: none"> • Requires input from Stakeholders • May result in New Section 	Intermediate	Manuals Committee & Other Stakeholders	Supervisor Division Director(s) Assistant Secretary See (A)(2a) for emergency conditions.	30-day all staff statewide with option for less and review by Stakeholders & Union Management	Supervisor Division Director(s) Assistant Secretary
Multifaceted Procedural Change or Interim Policy with Major Impact on workload: <ul style="list-style-type: none"> • Major Procedural change • New Section Required • Extensive Review by Stakeholders • Multiple Review by Variety of Stakeholders • Requires More Resources 	High	Manuals Committee & Other Stakeholders	Supervisor Division Director(s) CA Management Assistant Secretary See (A)(2a) for emergency conditions.	30-day all staff statewide review and review by All Stakeholders & Union Management	Supervisor Division Director(s) CA Management Assistant Secretary

3. Assigned staff does a preliminary estimate of staff workload and use of resources if policy is implemented. The following guidelines will be used to assess workload:
 - i. Non Existent or Minor (0-5 minutes per week)
 - ii. Low (5-30 minutes per week)
 - iii. Moderate (30 minutes to 1 hour per week)
 - iv. High (more than 1 hour per week)
4. Assigned staff may consult with key stakeholders when there is a potential of moderate to high use of resources for the policy change.
5. Review by CA Manuals Committee

1212 PHASE 2

A. Concept Development and Approval

1. If decision makers know the basic elements of the revised policy/practice that will best address the problem, their staff and workgroup (if indicated):
 - a. Reviews if there is a substantial change that will increase workload:
 - i. If yes, complete following steps;
 - ii. If no, continue to drafting of content.
 - b. Describes concept;
 - c. Develops preliminary implementation plan;
 - d. Estimates workload;
 - e. Completes review process; and
 - f. Acquires necessary approval.
2. If decision makers do not know what policy/practice will best address the problem, the assigned staff (with workgroup if indicated):
 - a. Researches the issues to gain the conceptual knowledge to proceed;
 - b. Analyzes information acquired in the research process;
 - c. Lists options for development or to stop process;

- d. Evaluates the options to determine resulting workload;
 - e. Drafts an initial Implementation Plan; and
 - f. Recommends a preferred practice/policy to reviewers and decision-makers;
 - g. Decision made according to approval criteria.
3. Alert key stakeholders identified in (B)(3).

1213 PHASE 3

A. Drafting and Approval of Final Document

1. Draft content based on approved policy direction.
 - a. Manual Procedure will be created if next scheduled manual revision will occur within a reasonable timeframe and meets the need of staff and administration.
 - b. Interim Procedure will be initiated if next scheduled manual revision is not timely and the procedure is needed sooner.

B. Workload Impact Resulting From Changes And/Or New Requirements. A "Workload Impact Assessment Form *DSHS Form 05-243* has been designed to create an expectation that the workload impact of change and implementation of new requirements are considered and addressed. Key considerations include:

1. Treating staff time as a fixed resource; small increases in workload can have a cumulative effect.
2. Development of options for moderate or high workload impact that effect staff time versus the benefits of the change. The options should enable management to evaluate the best use of staff time.
3. Identifying related areas where efficiencies are possible that would reduce or eliminate the impact of the new requirements?
4. Identifying what other actions, including reducing or eliminating activities, would offset the workload increase.

C. Final Implementation Plan is required and has the following components:

1. Workload Assessment *Form DSHS 05-243* is completed using the following criteria:
 - a. Non Existent or Minor (0-5 minutes per week);

- b. Low (5-30 minutes per week);
 - c. Moderate (30 minutes to 1 hour per week);
 - d. High (more than 1 hour per week).
 - 2. Development and distribution of procedures;
 - 3. Information Technology support is in planning or completion phase;
 - 4. Training plans;
 - 5. Timeline for implementation; and
 - 6. Communication plan for staff.
- D. Review and Decision Making Process Established and is consistent with (C.)
 - 1. Review by Manuals Committee that makes a decision to:
 - a. Approve revision;
 - b. Approve revision with changes;
 - c. Revision requires further review;
 - d. Revision requires review by Union Management.
 - 2. Signatures acquired for approved document(s);
 - 3. Final issuance prepared for Assistant Secretary's signature;
 - 4. Signature acquired for document;
 - 5. Issuance official and ready for distribution.
- E. Implementation Plan:
 - 1. Timelines established;
 - 2. Communication for staff developed.
- F. Support services required incorporated into Plan:
 - 1. Information Technology support services in process or completed; and
 - 2. Training plans are scheduled.
- G. Alert all key stakeholders identified in development process.

1214 PHASE 4

Final Implementation of Policy/Practice/Operations is accomplished by distribution to all staff and stakeholders.

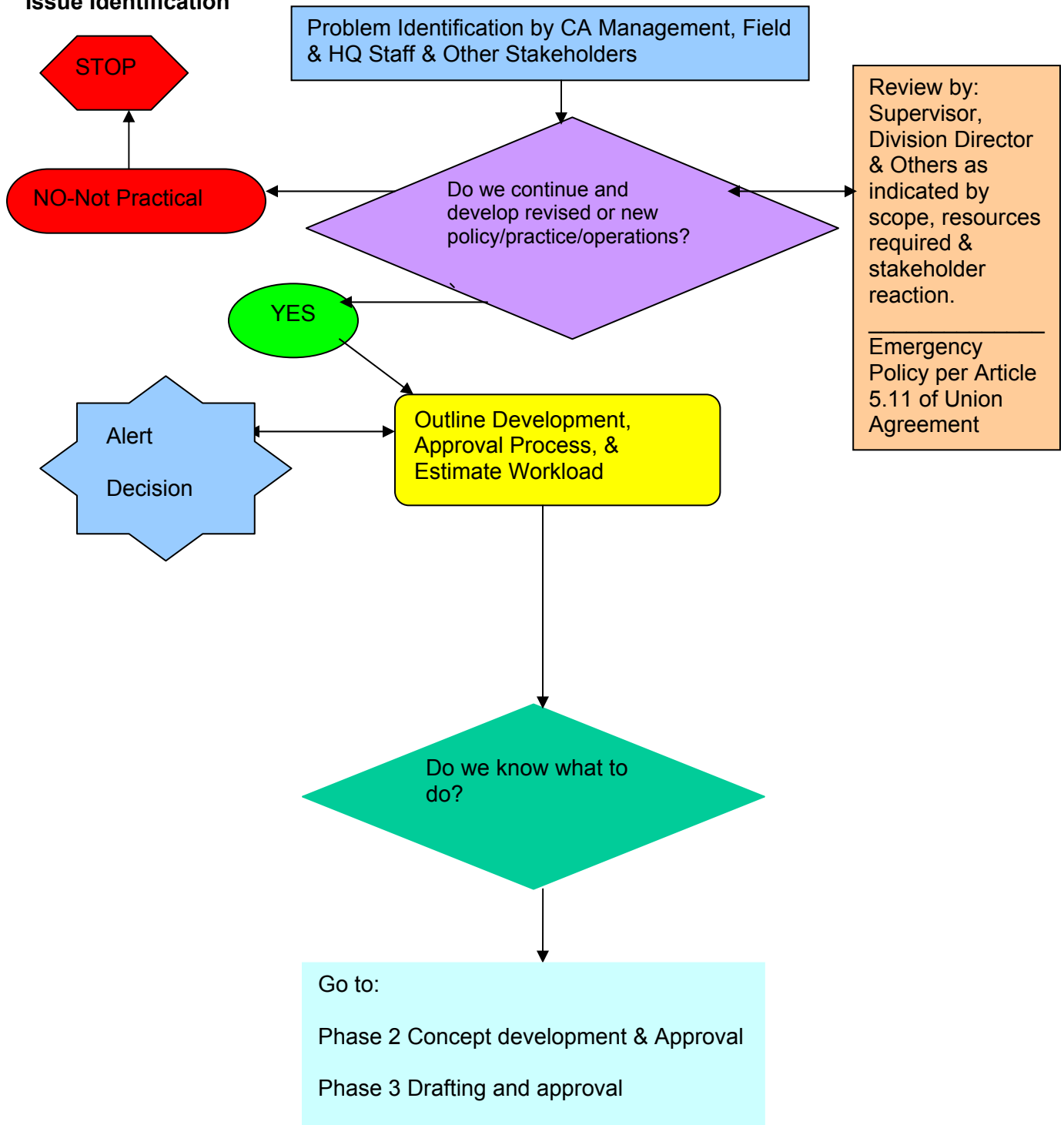
1220 Policy Promulgation And Review

- A. Children's Administration shall utilize a system of memoranda numbered sequentially to issue interim policies and procedures prior to their inclusion in the appropriate manual. The interim policies and procedures shall be placed at the front of the applicable manual.
- B. Interim policies and procedures shall only be effective if issued through the system of numbered memoranda and if signed by the Assistant Secretary, or designee.
- C. Within 180 days of issuance, the Director, Program and Policy Development, will prepare the interim policy/procedure for review by the Manual Committee. If the policy/procedure needs to be made permanent, assigned staff, at the direction of the Director will develop and issue, under the Assistant Secretary's signature, a revision to the appropriate manual. If any issuance does not follow this process, with appropriate authorizing signature, it will not be binding upon local and regional staff. However, the Director, Division of Program and Policy Development, or the Assistant Secretary may provide written authorization for short-term extension of such interim policies and procedures to provide sufficient time to complete review and action on individual interim policies and procedures.

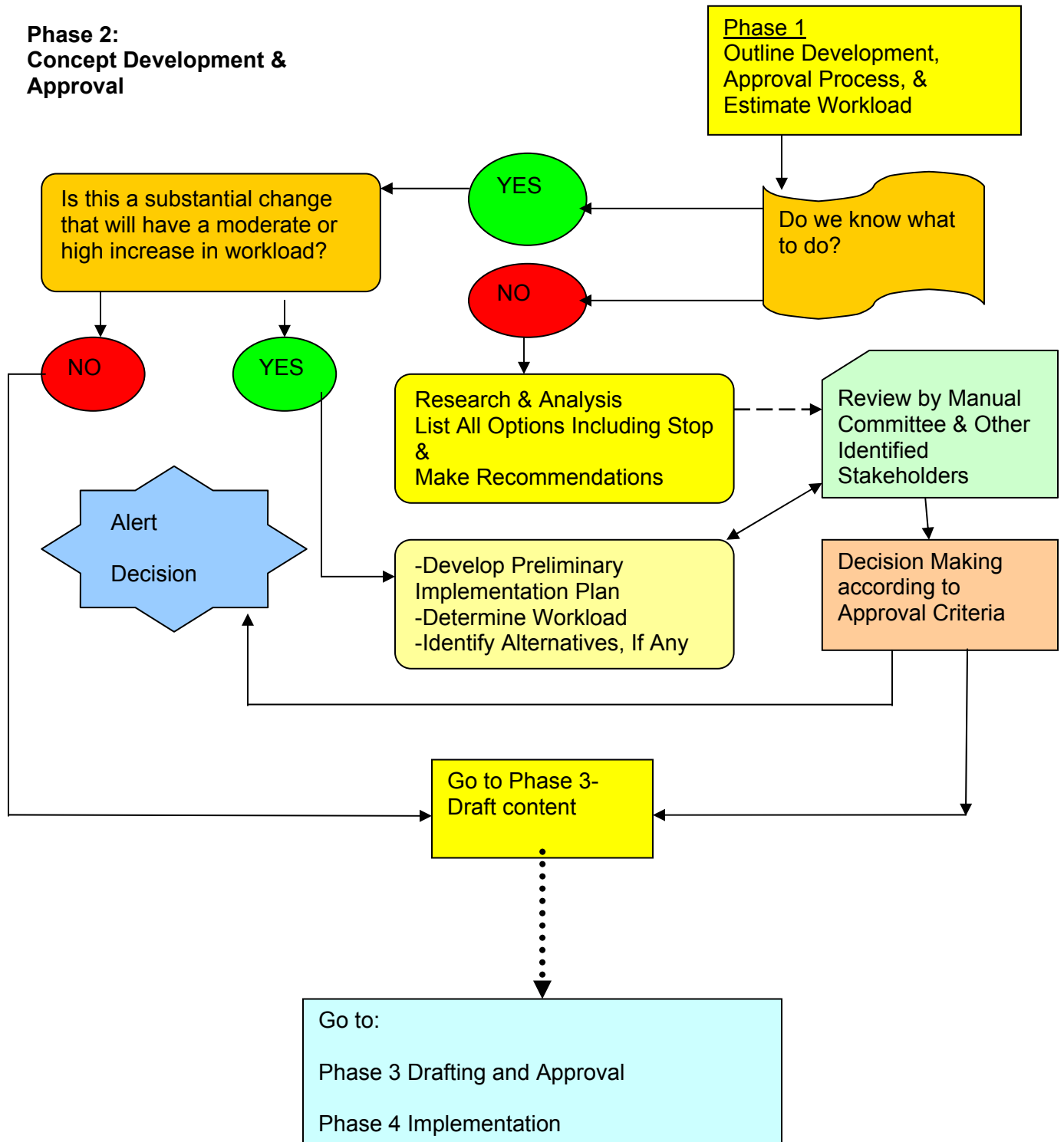
Manual Committee review of interim policies and procedures and ongoing review of the manuals shall constitute Sunset Review as required in the DSHS *Paperwork Management Manual*.

1230 Developing And Implementing Policy/Practice/Operations

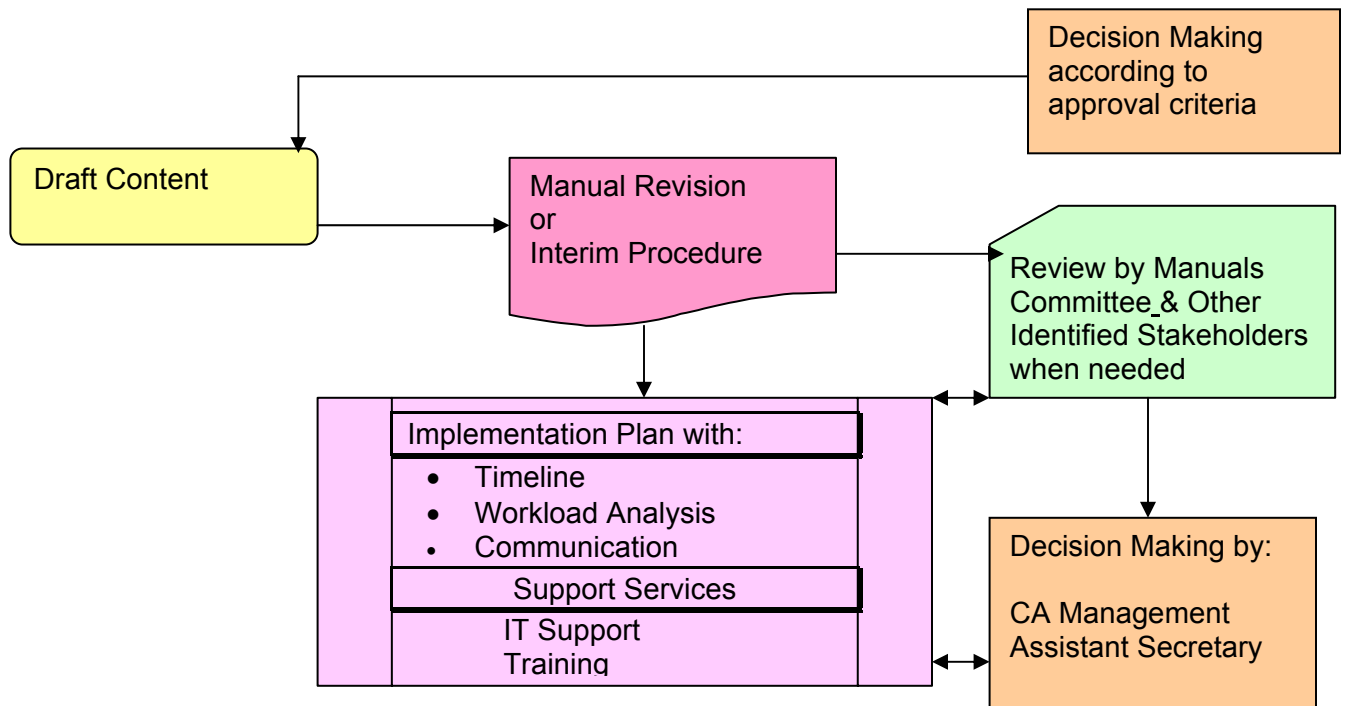
Phase 1: Issue Identification



**Phase 2:
Concept Development &
Approval**



**Phase 3:
Drafting and Approval of Final Document**



**Phase 4:
Implementation**

